



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Group Art Unit: 1614

Applicant: Robert I. Higuchi, *et al.*

Examiner: Not Yet Assigned

Serial No.: 10/080,503

Filed: February 22, 2002

**For: TRICYCLIC QUINOLINONE AND
TRICYCLIC QUINOLINE
ANDROGEN RECEPTOR
MODULATOR COMPOUNDS
AND METHODS**

SUBMISSION OF MISSING PARTS AND RELATED APPLICATION PAPERS

Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

Sir:

1. DOCUMENTS ENCLOSED:

In response to the **NOTICE TO FILE MISSING PARTS OF APPLICATION UNDER 37 CFR 1.53(b)**, which was mailed by the Patent Office on March 15, 2002, enclosed are:

- ☒ Declaration executed by named inventors;
- ☐ Substitute Drawings Figures _____ (____ sheets);

CERTIFICATE OF MAILING
(37 C.F.R. §1.10)

I hereby certify that this paper (along with anything referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as 'Express Mail Post Office To Addressee' in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

EL573388505US
Express Mail Label No.

May 15, 2002
Date of Deposit

J. Gibbs
Name of Person Mailing Paper

Signature of Person Mailing Paper

- ☒ Copy of Notice to File Missing Parts of Nonprovisional Application under 37 CFR 1.53(b);
- ☒ Assignment of the invention to Ligand Pharmaceuticals Incorporated (together with form PTO-1595).
- ☒ Grant of Power of Attorney.

2. REQUEST FOR EXTENSION OF TIME:

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136 apply.

- ☐ Applicant(s) petitions for an extension of time under 37 CFR § 1.136 [fees: 37 CFR § 1.17(a)(1)-(5)] for the total number of months checked below:

EXTENSION (months)	FEE FOR SMALL ENTITY	FEE FOR OTHER THAN SMALL ENTITY
<input type="checkbox"/> one month	\$55.00	\$110.00
<input type="checkbox"/> two month	\$200.00	\$400.00
<input type="checkbox"/> three month	\$460.00	\$920.00
<input type="checkbox"/> four month	\$720.00	\$1,440.00
<input type="checkbox"/> five month	\$980.00	\$1,960.00

3. FILING FEES

BASIC FILING FEE:	\$740.00
Total Claims 167 - 20 = 147 x \$18.00	\$2,646.00
Independent Claims 2 - 3 = 0 x \$84.00	0
Multiple Dependent Claims \$280 (if applicable) <input checked="" type="checkbox"/>	\$280.00
Surcharge 37 CFR § 1.16(e) \$130 (if applicable)	\$130.00
TOTAL OF ABOVE CALCULATIONS:	\$3,796.00
Reduction by 1/2 for Filing by Small Entity. Note 37 CFR §§ 1.9, 1.27, 1.28. <input type="checkbox"/>	
Extension of Time (from above) <input type="checkbox"/>	
Assignment--\$40 (if applicable) <input checked="" type="checkbox"/>	\$40.00
TOTAL FEES SUBMITTED HEREWITH:	\$3,836.00

4. **METHOD OF PAYMENT OF FEES:**

- ☒ Check in the amount of \$3,836.00 is enclosed to cover the above fee(s).
☐ Charge Deposit Account No. **50-1273** in the amount of \$_____.
☒ The Commissioner is authorized to charge Counsel's Deposit Account No. **50-1273** for any fees required under 37 CFR 1.16, 1.17 and 1.445 that are not covered, in whole or in part, by a check enclosed herewith and to credit any overpayments to said Deposit Account **50-1273**.

Respectfully submitted,

BROBECK, PHLEGER & HARRISON LLP

Dated: May 15, 2002

By: Richard H. Pagliery
Richard H. Pagliery
Reg. No. 44,276

RHP/dlc

BROBECK, PHLEGER & HARRISON LLP
12390 El Camino Real
San Diego, CA 92130-2081
Telephone: (858) 720-2500
Facsimile: (858) 720-2555



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/080,503	02/22/2002	Robert I. Higuchi	015110.0058.UTL1

CONFIRMATION NO. 8671

FORMALITIES LETTER



Richard H. Pagliery
Brobeck, Phleger & Harrison LLP
12390 El Camino Real
San Diego, CA 92130-2081

RECEIVED

MAR 20 2002

Brobeck, Phleger & Harrison LLP

Date Mailed: 03/15/2002

Due 5/15/02

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/20/2002 BABRAHA1 00000111 10080503

FILED UNDER 37 CFR 1.53(b)

01 FC:101	740.00 OP
02 FC:105	130.00 OP
03 FC:103	2646.00 OP
04 FC:104	280.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$2926.
 - \$2646 for 147 total claims over 20.
 - \$280 for multiple dependent claim surcharge.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 3796.

A copy of this notice ***MUST*** be returned with the reply.

Tadus

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE